



**Issuance Date:** January 13, 2012  
**Questions Due Date and Time:** January 19, 2012 @ 2:00 pm EST  
**Closing Date for Final Comment:** January 31, 2012 @ 2pm

**Subject:** Draft Request for Application (RFA): RFA-0AA-12-000004  
USAID University Engagement through Higher Education Institutions

Dear Prospective Applicant:

Pursuant to the Foreign Assistance Act (FAA) of 1961, as amended, the United States Government (USG) as represented by the United States Agency for International Development (USAID), Bureau for Policy, Planning and Learning (PPL), Office of Science & Technology (S&T) invites questions and comments from public and private higher education institutions, and other interested parties on this Draft RFA as it develops the Final RFA. USAID reserves the right to incorporate and/or to reject comments received on the Draft RFA. The issuance date of the final RFA is anticipated to be in early February with applications due on April 3, 2012. Representatives of Apparently Successful Applicants to this ambitious process may be asked to convene in June 2012. **Please note: This is NOT a request for applications. Please do not submit an application in response to this Draft RFA. It will not be considered.**

The purpose of this Draft RFA is to disseminate information so that interested potential applicants become aware of this new program, provide input relative to the final RFA, and begin to develop applications for proposed Centers led by higher education institutions. To enhance this process a pre-solicitation conference/applicant webinar to discuss and receive input on the Draft RFA will be held on the 8<sup>th</sup> floor at USAID offices located at 301 4<sup>th</sup> Street, SW, Washington, D.C. on **January 24, 2012 from 1 p.m. to 3:00pm EST**. The following link must be used to register for the pre-solicitation conference/webinar: [www.usaid.gov/universities/](http://www.usaid.gov/universities/). Once registration is complete, a link to the webinar and further information will be provided. Questions submitted by **2:00 p.m. EST on January 19, 2012** will be answered during the conference/webinar on January 24<sup>th</sup>. Additional questions may be submitted in writing through January 31<sup>st</sup>, 2012. Following this date, the questions received from the issuance of the draft RFA through January 31<sup>st</sup>, 2012 (without attribution to the organization) and answers will be posted as an amendment to the RFA if necessary for application submission and/or if absence of such information would be prejudicial to other prospective applicants. Questions and comments regarding this RFA must be submitted in writing to [UERFA@usaid.gov](mailto:UERFA@usaid.gov).

The primary goal of this program is to build mutually beneficial relationships between higher education institutions and USAID that will improve the efficacy of development investments serving the larger development community. Please refer to Section I, the Funding Opportunity Description,

for a complete statement of goals, objectives and anticipated outcomes. The successful applicant(s) will be responsible for ensuring achievement of the program objectives as stated in this Draft RFA.

Subject to availability of funds, the Office of Science and Technology intends to provide approximately TBD in funding to be allocated over a five (5) year period. USAID plans to make multiple awards under this RFA, subject to the availability of funds. Nevertheless, USAID reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Please note that the Final RFA is anticipated to be a limited application submission process. Single institution applicants may submit **two** applications, whereas consortium leads may only submit **one** application as a consortium. Institutions are free to form as many inter-institutional collaborations as consortium partners that they view appropriate and programmatically justified.

All reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost principles 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), 2 CFR 220 for universities (formerly OMB Circular A-21) and the Federal Acquisition Regulation (FAR) Part 31 for -profit organizations, may be paid under the award.

This Draft RFA consists of this cover letter and the following:

- Section I, Funding Opportunity Description;
- Section II, Award Information;
- Section III, Eligibility Information;
- Section IV, Application and Submission Information;
- Section V, Application Review Information;
- Section VI, Award and Administration Information;
- Section VII, Agency Contacts;
- Section VIII, Additional Submission Requirements;
- Section IX, Marking Requirements
- Appendix 1 – Past Performance Information

This Draft RFA can be viewed and downloaded from the Internet at [www.grants.gov](http://www.grants.gov). USAID bears no responsibility for data errors resulting from transmission or conversion processes. If the applicant has difficulty registering or accessing the RFA or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance. Further, be aware that amendments to this Draft RFA may be issued and will be posted on the same Internet site from which you downloaded this Draft RFA. You are advised to regularly check the above Internet site for amendments and are encouraged to sign up for update notifications on the RFA at [www.grants.gov](http://www.grants.gov)

Any questions or comments regarding this Draft RFA must be submitted only to [UERFA@usaid.gov](mailto:UERFA@usaid.gov) by the closing date and time indicated at the top of this cover letter. Submission should be identified in the email subject line as follows: “[ORGANIZATION NAME] Comment on Draft RFA for USAID University Engagement through Higher Education Institutes”.

Issuance of this Draft RFA does not constitute an award commitment on the part of USAID nor does it commit USAID to pay for any costs incurred in providing input and comments relative to the Draft RFA or in the preparation and submission of an application in response to the final RFA. In addition, any final award(s) as a result of the final solicitation cannot be made until funds have been

fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Thank you for your interest in this USAID initiative. We look forward to your institution's participation.

Sincerely,

/s/

Marcus A. Johnson, Jr.  
Agreement Officer  
Office of Acquisition & Assistance

## **TABLE OF CONTENTS**

TABLE OF CONTENTS.....	4
SECTION I – FUNDING OPPORTUNITY DESCRIPTION.....	5
SECTION II – AWARD INFORMATION.....	14
SECTION III – APPLICANT ELIGIBILITY INFORMATION.....	17
SECTION IV – APPLICATION AND SUBMISSION INFORMATION.....	19
SECTION V – APPLICATION REVIEW INFORMATION.....	34
SECTION VI - AWARD AND ADMINISTRATION INFORMATION.....	38
SECTION VII - AGENCY CONTACTS.....	45
SECTION VIII – ADDITIONAL SUBMISSION REQUIREMENTS.....	46
APPENDIX 1- PAST PERFORMANCE INFORMATION.....	67

## **SECTION I – FUNDING OPPORTUNITY DESCRIPTION**

### **I.1 Introduction and Purpose**

The President's Policy Directive on Development (PPD 6) highlighted the importance of partnership, innovation, and science and technology to achieve development objectives. The United States Agency for International Development (USAID) is taking a new catalytic approach to solving major development challenges. This involves harnessing the intellectual power of faculty, students, and staff in great academic institutions to define and solve some of the world's most challenging development problems, to sustain creative, evidence-based multidisciplinary approaches to international development, and to expand the role of science, technology, and engineering to solving complex development problems. Specifically, the Office of Science & Technology (S&T) is seeking creative, science-based approaches that are directed toward the Core Development Objectives outlined in USAID's 2011-2015 Policy Framework, which can be found electronically at: [http://www.usaid.gov/policy/USAID\\_PolicyFramework.PDF](http://www.usaid.gov/policy/USAID_PolicyFramework.PDF)

Applicants are encouraged to 'think outside of the box', using creative practices and methodologies to develop innovations clearly linked to these objectives that are both sustainable, scalable, and would address the developing world's ability to address these problems. Successful applicants will become part of a networked set of "Centers" that bring creative problem solving, analysis, and engagement to USAID's core development practice.

### **I.2 Background**

USAID has a long history of partnership with institutions of higher education, research institutes, colleges, and community colleges that historically have focused on two modalities: program implementation and/or capacity-building through both domestic and international programs. Currently, universities and other institutions of higher education are incorporating more internationally-focused work, are taking increasingly problem-focused and multidisciplinary approaches to international development, and are serving as incubators for social entrepreneurship. USAID seeks to support, enhance, and leverage these trends by partnering with institutions of higher education to categorize and evaluate real, scalable, and sustainable solutions to development problems, based in part on advances in science, technology, and engineering. And furthermore, test these new advances, systems, and ideas, and incubate and support the scale up of these new approaches, and create new knowledge that advances development progress for the larger development community.

### **I.3 Program Objectives**

The intent of this program is to harness the knowledge, research, and creativity on higher education campuses to further the Agency's development objectives. Greater engagement with the academic community will support, extend, and advance the capacity of USAID, other development organizations, and developing countries by serving as centers of knowledge to better understand potential solution sets to development challenges, innovation, and as a means to engage and inspire a new and broader community of scholars involved in the complex issues of international development planning, execution, and assessment. Specifically, through this cooperative agreement(s), the academic community will support USAID and other development organizations to improve their analytical capabilities in understanding development challenges and core barriers to addressing them, catalogue solutions to different challenges, create revolutionary approaches to

addressing development problems, and catalyze the development and application of new tools within science, technology, and engineering.

Administrator Shah's APLU Annual Meeting address at <http://www.usaid.gov/press/releases/2011/ps111115.html> references the Core Development Objective of "Increase Food Security: Rekindling the Power of Transformational Agriculture

#### **I.4 Program Goal**

**I.4.1** The overall goal is to substantially improve the efficacy of international development goals as stated in the USAID 2011-2015 Policy Framework. To this end, USAID seeks to foster and support creative, evidence-based international development beyond traditional approaches to development, engaging an innovative, heterogeneous, academically-based community and other partners such as foundations, development organizations and institutions, and social entrepreneurs within both the developed and developing world. The "Centers" will be broadly and loosely defined to encompass a variety of models and approaches to achieve the core functions and goals of this program and to encourage novelty and creativity in their design.

**I.4.2** The Centers will support USAID to improve its analytical capabilities in understanding development challenges; create revolutionary approaches in addressing development problems; catalyze new tools within science, technology, and engineering; and promote entrepreneurship to sustain and scale these tools and approaches. In this way, institutions of higher education serve as development nodes to understand demands and needs in the developing world, explore and create new solutions to development challenges, assess the effectiveness of development methodologies and programming, and help incubate the organizations to address development needs.

**I.4.3** By working in partnership with universities and others, USAID, as well as the larger development community, will accomplish its development mission in a more effective and efficient fashion, and thus be better stewards of public and private funds.

#### **I.5 Overview and Program Rationale**

**I.5.1** The President's Policy Directive on Development (PPD 6) highlighted the importance of partnership, innovation, and science and technology to achieve development objectives. USAID operationalized the PPD 6 by issuing USAID's 2011-15 Policy Framework ([http://www.usaid.gov/policy/USAID\\_PolicyFramework.PDF](http://www.usaid.gov/policy/USAID_PolicyFramework.PDF)), which detailed the principles of partnership, innovation, and science and technology to guide USAID's 80 Missions around the world.

**I.5.2** To this end, USAID is transforming its approach to international development through USAID Forward, an ambitious reform effort that is changing the Agency and includes an emphasis on data-driven science (including social sciences), technology, and engineering; leveraging universities and federal science agencies, creativity and innovation; and a relentless focus on results through problem definition and understanding.

**I.5.3** USAID occupies a unique space in the translation of scientific research and technology to development problems, utilizing and contributing to a broad range of tools and knowledge from the social sciences, natural sciences, and engineering. Science and technology has played a key role in international development and has been the source of many of the Agency's greatest successes in international development. Science, technology, and engineering are necessary to characterize the

problem or contribution to the solution. Research is needed to critically evaluate complex systems, alternative approaches, and optimal methods to providing development and humanitarian assistance. Better data and data analysis to deliver that information are required to improve decision-making and development efficacy.

**I.5.4** In support of this effort, USAID seeks to engage Centers tied to higher education institutions in its efforts to strengthen the Agency’s policy development, monitoring, and evaluation capacities; lead innovative approaches; support capabilities in science, technology, and engineering; and attract and retain talent for optimizing international development efforts.

## **I.6 Establishment of Centers**

**I.6.1** USAID will fund two types of “Centers” that will further knowledge of development, innovation and engage with a broad range of actors.

**I.6.1.1 Consortium Centers** are robust collaborative consortia of institutions of higher education and other non-profit or for-profit organizations that complement each other’s strengths and undertake efforts that a single entity or smaller network would find difficult to impossible to accomplish. All consortia will be strongly encouraged to include developing country institutions or research institutions. The consortia should provide greater value together through their interactions than as individual institutions.

**I.6.1.2 Single Institution Centers** will involve a single higher education institution.

**I.6.2** The “Centers” will be broadly and loosely defined to encompass a variety of models and approaches to achieve the core functions and goals of this program.

**I.6.3** The Centers will support, extend, and advance the capacity of USAID, other development organizations, and the developing countries themselves by serving as centers of knowledge, innovation, and as a means to engage and inspire a new and broader community of scholars involved in the complex issues of international development planning, execution, and assessment. Centers will provide a rich environment to facilitate interdisciplinary approaches to major development challenges. They will serve as focal points to encourage future scientists, engineers, educators, and others to creatively pursue new entrepreneurial approaches and new knowledge in the diverse and increasing complex goal of fostering international development and cooperation. By working together across traditionally disparate disciplines, multiple organizations, and geographic boundaries, the Centers will provide the tools to the development community – including developing countries – to improve, evaluate, and refine their interventions.

**I.6.4** All Centers will build close relationships with USAID, as well as the broader development community. These relationships will bring creative approaches to USAID’s development practice and engage faculty, staff and student communities. The Centers also will articulate and identify development problems and identify, create, and/or evaluate novel solutions, engaging students, faculty, and staff around key development challenges and potential solutions facing USAID and the larger development community. All Centers will be in part co-branded with USAID.

**I.6.5** The Centers will enhance the capacity of USAID and the broader development community to understand current and future development challenges. The Centers will be evidence-based. They will be anchored in science, technology, and engineering, and applied development research and analysis. They will create, engage, and inspire current and newly created communities of solvers

around key development barriers. The Centers will significantly enhance the ability of USAID to capture and employ best practices throughout the Agency and introduce new ways USAID can improve the use of science, technology, and engineering for development.

## **I.7. Objectives and Potential Outcomes**

Specifically, the Centers should focus on one or more of the following core objectives:

**I.7.1 Development Labs & Analytics.** Serve as an analytical resource for the Agency, and address the Agency's need for development data and analysis to advance development policy, programming, and evaluation. The Centers will help USAID focus on solvable development problems, identify the critical barriers to address these problems, and prioritize among competing solutions. Centers also may facilitate the Agency's understanding of future challenges and recommend positioning of development programs to better address those challenges. Centers may create development labs to ideate, design, adapt, test and evaluate rigorously, and help incubate and scale emerging technologies, systems, and approaches for development, in partnership with USAID, leveraging federal science agencies, higher education institutions, private foundations, and developing countries.

### *Potential Outcomes*

**I.7.1.1** Create development labs that conceptualize, design, adapt, and test rigorously and scale emerging technologies, systems, and approaches for development, in partnership with federal science agencies, higher education institutions, private foundations, and developing countries;

**I.7.1.2** Utilize multidisciplinary analysis for key development challenges, including supporting and building communities of problem solvers in priority areas. Encourage scholarship on development approaches, shared with USAID and other development institutions, such as foundations, multilateral, and bilateral agencies, and developing countries; and

**I.7.1.3** Create and expand the evidence available to development practitioners around potential solutions and their efficacy. Advance the frontiers of effective international development by questioning and critically evaluating past and current efforts across all sectors.

**I.7.2 Grand Challenges & New Models for Development.** Provide support to the identification and articulation of Grand Challenges for Development through creation of novel higher education institution-based, multidisciplinary development centers of excellence that will connect USAID to communities of problem solvers in both the developed and developing world around key development challenges. Working with the Agency, Centers will develop, incubate, and promote creative approaches around Grand Challenges, including but not limited to, prizes, open innovation, crowd-sourcing, social entrepreneurship, advanced market commitments, and novel integrated delivery platforms among donors, foundations, and developing countries.

### **I.7.2.1** *Potential Outcomes*

**I.7.2.1** Engage higher education institutions to encourage novel approaches to development, with a multidisciplinary, entrepreneurial focus that connects to the needs and challenges of the developing world;

**I.7.2.2.** Build new communities of solvers and new solutions around larger global development problems (such as USAID's Grand Challenges for Development) that



engage faculty, students, staff, and entrepreneurs in both the developing and developed world.

**I.7.2.3** Support a culture of entrepreneurship in developing countries as a means to address developing country problems, including global health, food security, water, climate change, environment, and conflict.

**I.7.2.4** Engage students, faculty, and staff within higher education institutions in the U.S. and developing countries through prizes, exchanges, student conferences, scholarship, and development entrepreneurship incubators to address development problems in multidisciplinary ways with the Agency.

**I.7.3. Support Science, Technology, and Engineering for Development.** Build science, technology, and engineering capacity to promote international scientific cooperation and enable developing countries to address shared global challenges. Enhance science, technology, and engineering expertise within USAID through translational science for development. Engage the technology community (e.g., companies, technology-based NGOs, entrepreneurs), new donors in development, and developing countries by fostering open and collaborative approaches that will inspire and attract new solvers to create tomorrow's development breakthroughs.

**I.7.3.1 Potential Outcomes**

**I.7.3.1.1** Build partnerships between U.S. and developing country institutions to define and solve problems shared between the developing and developed world;

**I.7.3.1.2** Leverage two-way faculty and staff exchanges with USAID building on the American Association for the Advancement of Science (AAAS) & Jefferson Fellowship programs to share technical expertise;

**I.7.3.1.3** Foster relationships that build developing country S&T, promote international scientific cooperation on development, and enable developing countries to better address their own challenges;

**I.7.3.1.4** Expand expertise and capacity to support the Agency's Evaluation Policy and better understand the impact of Agency programs.

## **I.8 Implementation Strategy**

**I.8.1 Overview:** Each Center is encouraged to build a vision and leverage existing relationships and capacity to build capacity that will in time sustain these efforts. The Centers will work closely with USAID's Office of Science and Technology, or its designates, but should stand alone and have the capacity to form external partnerships and maintain a unique identity that serves the entire development community. The Office of Science & Technology will provide a coordinated means for the Centers to interact with USAID, as well as coordinate their activities in relation to other Centers and USAID higher education partners. The Centers should build many ties to USAID, its missions, and its developing country constituencies, to integrate fully with the Agency.

**I.8.1 Characteristics of successful Centers include:**

**I.8.1.1 Creativity and Novelty.** USAID is looking for creative new approaches to international development that deviate from standard practice and focus; are structured around problems, rather than disciplines; and employ social entrepreneurship and open innovation. The Centers are encouraged to engage and integrate disciplines not

traditionally involved in development to address development challenges faced by the Agency.

**I.8.1.2 *Multidisciplinary and Analytical.*** The Centers will focus on multidisciplinary approaches that attract undergraduate and graduate students, faculty, and staff synthetically across fields such as engineering, entrepreneurship, business, agriculture, law, design, biology, medicine, anthropology, economics, and public health to apply their expertise and enthusiasm to development challenges.

**I.8.1.3 *Sustainability.*** Institutions should ensure that Centers leverage outside resources, are sustainable beyond the duration of the award, and that they are influential beyond the institution and benefit the broader academic community, including students, developing countries, USAID, and the development community. These Centers will be closely integrated with USAID-Washington and its Missions abroad. They should build relationships with counterpart institutions in the developing world. In the case of consortia, applicants are strongly encouraged to seek a developing country institution partner.

**I.8.1.4. *Leverage.*** The Centers should leverage additional resources, including private donations, foundation support, developing country institutions and knowledge, private sector investments, social entrepreneurs, design and research institutions, media, and other resource partners and knowledge centers. Each Center is encouraged to match proposed funds with sources and foundations outside of USAID to encourage the Centers to serve the larger development community

**I.8.1.5. *Partnerships.*** Partnerships are an important of USAID's approach and will be an integral aspect of the Centers. Applicants must explain how they will scale-up impact and influence beyond their institution or a consortia by leveraging external donors, engaging with students in the U.S. and the developing world, partnering with federal science agencies and research institutions (potentially through consortia), and working with the private sector, foundations, NGOs, social entrepreneurs, and other development agencies, in bilateral and multilateral arrangements. Centers may unite USAID expertise with external knowledge. Moreover, this expertise should be complemented with connections to scientific and engineering societies, the National Academies, and technical firms.

**I.8.1.6 . *Focused problem solving.*** The Centers will be idea-driven and outcome-oriented, with results measured against quantitative metrics. Further, they will be organized towards rapid acceleration of solving development challenges rather than traditional incremental solutions. They will help define demand, problems, critical constraints, and identify solutions for the development community, particularly with direction from the field and the Policy Bureau to ensure that it is demand-driven. The Centers will encourage the development of entrepreneurial approaches to sustaining and scaling these solutions.

**I.8.1.7 *Risk tolerant.*** The Centers will be encouraged to pursue high-risk, high-reward projects (with appropriate monitoring & evaluation) and provide opportunities for learning. It should seek out revolutionary, not gradualistic solutions.

**I.8.1.8. *Independent.*** Centers should leverage external resources to push the envelope on addressing challenges creatively. The Centers may provide value-added independent analysis of events to USAID policymakers and USAID Mission Director/Managers – the

analytical component of the Centers is a crucial functionality that lacks in any consistent form. Centers should provide deep analysis on issues as requested by USAID as a resource to generate value-added analysis catered to development practitioners that will contribute to building USAID's intellectual leadership. Fundamentally, the Centers should use provocative, revolutionary re-thinking of long-held assumptions across various development fields.

**I.8.2.** Centers should advance the global missions of higher education institutions while at the same time serving as a transformative force in advancing the national interest in effectively fostering international development and cooperation in partnership with USAID. The Centers must undertake specific activities to facilitate knowledge transfer and dissemination with the intention of supporting new approaches, providing key information to public policy makers, and working closely with USAID.

### **I.9 Center Management, Network Participation and Information Sharing**

**I.9 .1** Each Center must have a Director/Manager that provides leadership to develop and lead a diverse team to fulfill the vision of the center. S/he is responsible for the management, staffing, and resource allocation and for serving as the liaison between the center, USAID, and other Centers. The Director/Manager must ensure that the Center develops the ability to communicate effectively with USAID and the other Centers, including web-based distribution of information and video-conferencing capability, etc.

**I.9.2 *National Network Participation.*** Center Director/Managers(s) are expected to participate in the National Network of Director/Manager(s). This group is charged with addressing common goals, problems and opportunities, and facilitating personnel and resource exchanges as well as ensuring linkages and cooperation among Centers and USAID supported activities. Typical functions of this Network include: facilitating interactions to address research, education, and management issues and opportunities that transcend individual center capabilities; planning joint implementation strategies, workshops, and other forums; implementing the development, use and maintenance of databases and other metrics in response to the requirements of the Government Performance and Results Act and other assessment activities; and arranging for documents or web sites to enhance public understanding of the importance of and National interest in international development.

**I.9 .3 *Role of the Director/Manager(s).*** The Director/Manager(s) must provide the leadership to develop and lead a diverse team to fulfill the vision of the center. S/he is responsible for the management, staffing, and resource allocation and for serving as the liaison between the center, USAID, and other Centers. The Director/Manager(s) must ensure that the Center develops the ability to communicate effectively with USAID the other Centers electronically, including web-based distribution of information and video-conferencing capability

**I.9.4 *Information Sharing:*** As part of the Network, Centers will be required to share reports, published methodologies, case-studies and other materials developed through Center activities. This will facilitate broader programmatic coherence, accelerate lessons learned, open new lines of inquiry, and enhance analysis for USAID and the broader development community.

## **I.10 Key Illustrative Activities**

I.10.1 The application should include a clear set of key activities that might include, but are not limited, to the following:

- I.10.1.1 Devising comprehensive systems based solutions to development challenges identified in partnership with USAID
- I.10.1.2 Understanding and disseminating the underlying drivers for technology adoption in low resource settings
- I.10.1.3 Devising new, low-cost approaches to development impact evaluation
- I.10.1.4 Exploring opportunities to leap-frog 20<sup>th</sup> century solutions with 21<sup>st</sup> century technology for demand analysis, solutions and assessment methods
- I.10.1.5 Devising demand driven solutions and methodologies to define and articulate the needs of development beneficiaries
- I.10.1.6 Engaging students, faculty, industry partners and developing world communities in the search for solutions to development challenges and incubating and facilitating entrepreneurial approaches to scaling and sustaining those solutions.
- I.10.1.7 Provide policy development in areas such as fragile states and conflict, resilience, urbanization, growth dynamics, global nature of food security, health systems strengthening to help test assumptions and identify the realm of potential development solutions.
- I.10.1.8 Methods to connect across disciplines within USAID, including promoting interactions between development policy (Washington) and practice (Missions and regional development program). This includes

## **I.11. Authorizing Legislation**

This program is authorized under the Foreign Assistance Act of 1961, as amended.

## **I.12 Program Eligibility Requirements**

All qualified U.S. and non-U.S. organizations are eligible to submit an application. Potential for-profit applicants are advised that USAID policy prohibits the payment of fee/profit to the prime Recipient under grants and cooperative agreements, or to sub-recipients of sub-grants/sub-agreements. However, fee/profit is payable by the prime Recipient to a [sub]contractor if the Recipient is procuring goods or services (*i.e., buyer/seller relationship*) in furtherance of the program being supported by the resultant award(s). Also see Section III.4 of this RFA.

## **I.13 Award Administration:**

**I.13.1** Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 226, 22 CFR 220 for universities (formerly OMB Circular A-21), 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for U.S. Nongovernmental Organizations.

**I.13.2** Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 220 for universities (formerly OMB Circular A-21), 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for non-U.S.

Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations

**I.13.3** These policies and federal regulations are available at the following web sites:

**I.13.3.1** ADS-303:

<http://www.usaid.gov/policy/ads/300/303.pdf>

**I.13.3.2** 22 CFR 226:

[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html)

**I.13.3.3** 22 CFR 220 (formerly OBM Circular A-21)

[http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_a21.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf)

**I.13.3.4** 22 CFR 230 (formerly OMB Circular A-122)

[http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_122.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_122.pdf)

**I.13.3.5** OMB Circular A-133 - Audits of States, Local Governments and Non-Profit Organizations

<http://www.whitehouse.gov/omb/circulars/index.html>

**I.13.3.6** 48 CFR 31.2:

<http://www.arnet.gov/far/>

**I.13.3.7** Standard Provisions for U.S. Nongovernmental Organizations:

<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

**I.13.3.8** Standard Provisions for Non-U.S. Nongovernmental Organizations:

<http://www.usaid.gov/policy/ads/300/303mab.doc>

## **SECTION II – AWARD INFORMATION**

### **II.1 Period of Performance**

Applicants may propose activities with a period of performance of no more than five years from the date of award. USAID plans to fund approved activities starting in the current fiscal year. However, activities which are not able to be funded in the current fiscal year will start in the following fiscal year. USAID reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

### **II.2 Anticipated Funding Availability**

**II.2.1** It is anticipated that approximately TBD will be available over five years for awards resulting under the RFA subject to availability of funds.

**II.2.2** USAID may make a determination to extend some, all or none of the awards upon satisfactory evaluation of Center activities at the end of the funding period and pending availability of resources.

### **II.3 Anticipated Number of Awards**

**II.3.1** USAID anticipates making multiple awards as a result of this RFA. Nevertheless, USAID reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this RFA does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application

**II.3.2** USAID anticipates funding Consortium Centers at between \$4-5 million per year and Single Institution Centers at between \$1-2 million per year. Application above a maximum amount of US\$25 million for Consortium Centers and US\$10 million for other Centers will not be considered.

### **II.4 Type of Award(s)/Substantial Involvement**

**II.4.1** USAID anticipates a strong and close working relationship with the successful applicant(s), and will designate a point of contact to facilitate these relationships. It is anticipated that a cooperative agreement(s) will be awarded as a result of this RFA. However, USAID reserves the right to award grants if deemed to be in the best interest of the USG. Cooperative agreements are identical to grants except that USAID will be substantially involved in the following areas:

**II.4.1.1** approval of the recipient's implementation plans (limited to not more frequently than annually);

**II.4.1.2** approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);

**II.4.1.3** USAID and recipient collaboration or joint participation which includes one or more of the following:

**II.4.1.3.1** Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;

**II.4.1.3 .2** USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;

**II.4.1.3 .3** USAID approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);

**II.4.1.3 .4** USAID monitoring to permit direction or redirection because of interrelationships with other projects.

## **II.5 Cost-sharing and Leveraging**

Cost-sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are required to contribute resources from own, private or local sources for the implementation of this program. There is no minimum or maximum amount of cost-sharing, but some amount must be provided. Cost-sharing is defined at 22 CFR 226.23. Cost-sharing may consist of cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles. Information regarding the proposed cost-share should be included in the SF 424 and the Budget. The cost-sharing plan should be discussed in the Budget Notes to the extent necessary to demonstrate its feasibility and applicability to the program.

This RFA further encourages applicants to leverage additional resources from private donations, foundation support, developing country institutions, private sector investments, social entrepreneurs, design and research institutions, media, and other resource partners and knowledge centers in this program. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives. The recommended ratio for leveraging resources is 1:1. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a project. It may include cost-sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share

## **II.6 Program Income**

If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to USAID funding, (and any cost-sharing that may be provided) and used for program purposes as described in 22 CFR 226.24(b)(1.) However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award(s) will be deducted from the total program cost to determine the amount of USAID funding. Program income will be subject to 22 CFR 226.24 for U.S. NGOs or the standard provision entitled "Program Income" for non-U.S. NGOs.

## **II.7 Authorized Geographic Code**

The authorized geographic code (see 22 CFR 228.1) for any award resulting from this RFA is 935, subject to revision depending on the successful applications that are selected. Geographic code 935 authorizes awardees to purchase goods and services from any country, except foreign policy

restricted countries. The foreign policy restricted countries are as follows: Cuba, Iran, Libya, North Korea and Syria.

## **II.8 Title to Property**

Title to property financed by USAID under the award(s) will vest in the recipient, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled “Title To and Use of Property (Recipient Title; Over \$50,000) for non-U.S. NGOs.

## **II.9 Post-Award Reporting**

### **II.9.1 Programmatic Reporting**

Programmatic reporting will be in accordance with 22 CFR 226.51 and as agreed with USAID prior to project start-up. Due to the nature and profile of these activities, it may be in USAID’s interest to negotiate ad hoc reporting requirements.

### **II.9.2 Financial Reporting and Payment**

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant’s systems, policies, and procedures meet USG and USAID requirements. The recipient(s) will be required to have a U.S. bank account into which payments under the award will be made. If USAID requires accrual information and the recipient’s accounting records are not normally kept on the accrual basis, the recipient shall not be required to convert its accounting system, but shall develop such accrual information through best estimates based on an analysis of the documentation on hand.



### **SECTION III – APPLICANT ELIGIBILITY INFORMATION**

This RFA is issued to ensure that all interested and qualified organizations have a fair opportunity to submit applications for funding.

USAID will **not** accept applications from individuals. USG departments and agencies may also not apply for USAID funding under this RFA. All applicants must be legally recognized organizational entities under applicable law. The following types of organizations may apply for funding under this RFA:

**III.1 Colleges and Universities:** Qualified U.S. and non-U.S. colleges and universities may apply for USAID funding under this RFA. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

**III.2 Non-Governmental Organizations (NGOs):** Qualified U.S. and non-U.S. private non-profit organizations may apply for USAID funding under this RFA. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

**III.3 For-Profit Organizations:** Qualified U.S. and non-U.S. private for-profit organizations may apply for USAID funding under this RFA. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to ADS 303.5(k) and 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

**III.4 Private Voluntary Organizations (PVOs):** A local or indigenous PVO, which by definition is a non-U.S. PVO operating in the same foreign country in which it is organized, is eligible to receive funding. Local PVOs are not required to register with USAID. In accordance with 2 CFR 203, a U.S. PVO or an "International PVO," which by definition is a non-U.S. PVO that performs development work in one or more countries other than the country in which it is domiciled, must be registered with USAID to be eligible to receive funding. For more information on registering with USAID as a PVO, please see: <http://idea.usaid.gov/ls/pvo>.

**III.5 Faith-Based Organizations (FBOs):** USAID has published regulations on participation by FBOs in Agency programs. This guide may be found at: [http://www.usaid.gov/our\\_work/global\\_partnerships/fbci/rule.html](http://www.usaid.gov/our_work/global_partnerships/fbci/rule.html)

**III.6 New Partners:** USAID encourages applications from organizations that have never received a direct award from USAID. However, resultant awards to these organizations may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their "responsibility" (see below). These organizations should take this into account and plan their implementation dates and activities accordingly.

**III.7 Geographic Restrictions:** Applicants, regardless of entity type, may not be from a foreign policy restricted country, i.e., Cuba, Iran, Libya North Korea and Syria.

### **III.8 “Responsibility” of Applicant**

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9 (see also Section IV.5(e) of this RFA. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

In the absence of an affirmative “responsibility” determination, an award can ordinarily not be made. However, in rare cases, an award can be made with “special award conditions” (*i.e.*, additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of “responsibility” cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

## **SECTION IV – APPLICATION AND SUBMISSION INFORMATION**

### **IV.1 Points Of Contact/Access To Information**

**IV.1.1** It is anticipated that this RFA, including any references/hyperlinks/attachments set forth herein, contains everything that a potential applicant will need to apply. However, if additional information is needed, a potential applicant may contact the Agency through the following email address: [UERFA@usaid.gov](mailto:UERFA@usaid.gov)

**IV.1.2** Any prospective applicant desiring an explanation, interpretation, or other information related to the final RFA must request it in writing soon enough to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of any resultant award(s) will not be binding. Any information given to a prospective applicant concerning the final RFA will be furnished promptly to all other prospective applicants as an amendment to the final RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants. All questions must be submitted to [UERFA@usaid.gov](mailto:UERFA@usaid.gov) not later than **TBD**. Applicants may not hold discussions with USAID S&T/PPL staff regarding any aspect of the final RFA without prior consultation and coordination with, and authorization of, the Agreement Officer. Failure to comply with this requirement may serve to disqualify an applicant.

### **IV.2 Standard Form (SF) 424**

**IV.2.1** As indicated in Section .66(e) below, the cost application must include the Standard Form 424 (SF-424) package, which consists of:

- IV.2.1.1** SF-424, Application for Federal Assistance (SF 424 Mandatory Form)
- IV.2.1.2** SF-424A, Budget Information - Nonconstruction Programs, and
- IV.2.1.3** SF-424B, Assurances - Nonconstruction Programs

**IV.2.2** These Standard Forms may be accessed electronically at the following URL:  
[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

### **IV.3 Pre-Award Certifications, Assurances, And Other Statements Of Recipient**

**IV.3.1** The cost application must include the following signed Certifications, Assurances, and Other Statements Of The Recipient, which may be found at:  
<http://www.usaid.gov/policy/ads/300/303sad.pdf>.

**IV.3.2** Complete copies of these Certifications, Assurances, and Other Statements of the Recipient may also be found in Section VIII entitled “Additional Submission Requirements” of the RFA.

**IV.3.2.1** Part I – Certifications and Assurances, which includes:

- IV.3.2.1.1** Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs;
- IV.3.2.1.2** Certification Regarding Lobbying
- IV.3.2.1.3** Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals

**IV.3.2.1.4** Certification Regarding Terrorist Financing, Implementing Executive Order 13224

**IV.3.2.1.5** Certification of Recipient

**IV.3.2.2** Part II - Key Individual Certification Narcotics Offenses and Drug Trafficking; and

**IV.3.2.3** Part III – Participant Certification Narcotics Offenses and Drug Trafficking

**IV.3.2.4** Part IV – Survey of Ensuring Equal Opportunity for Applicants

**IV.3.2.5** Part V – Other Statement of Recipients;

**IV.3.3** All applicants must provide a Data Universal Numbering System (DUNS) number.

**IV.3.4** All applicants must be registered in the Central Contractor Registration (CCR) unless exempt under 2 CFR 25.100. See Attachment 3 entitled See Section VI. 6.1 Central Contractor Registration and Universal Identifier ( October -2011)

#### **IV.4 General Instructions to Applicants**

**IV.4.1** Applications should be kept as concise and succinct as possible. Detailed information should be presented only when required by specific RFA instructions and be appropriately organized and referenced. Applications not conforming to this RFA may be categorized as non-responsive, thereby eliminating them from further consideration.

**IV.4.2** Each individual institution center applicant is restricted to two (2) applications. Furthermore, a single institution Center may serve as the lead (primary) on only one application composed of a consortium of institutions competing for a “Consortium level” award. Applications that fail to adhere to this restriction will be viewed as being non-responsive to this RFA and their application will not be reviewed. Applicants are free to form as many inter-institutional collaborations as they believe appropriate and can be programmatically justified.

**IV.4.3** Applicants should address questions to [UERFA@usaid.gov](mailto:UERFA@usaid.gov) in advance of the questions deadline stated in this RFA.

#### **IV.5 Submission Instructions**

**IV.5.1** Applications submitted in response to this RFA must be received by email in MS Word or PDF format at [UERFA@usaid.gov](mailto:UERFA@usaid.gov) by the closing date and time (see below). **Applications not submitted through UERFA@USAID.GOV will not be considered.**

**IV.5.2** Closing Date and Time. The email submission of applications in response to this RFA shall be due no later than TBD (the date and time is to be determined and is subject to change and will be stated in the final RFA). The time stamp on the email received shall serve as the official time of receipt. The USAID bears no responsibility for transmission errors or delays.

**IV.5.3** Three separate electronic files, consisting of one Executive Summary, one Technical Application and one Cost Application, inclusive of any attachments, must be emailed to [UERFA@usaid.gov](mailto:UERFA@usaid.gov). The electronic files must be labeled as follows: “[Organization Name]:

## **Executive Summary - [Organization Name]: Full Technical Application and [Organization Name]: Cost Application"**

### **IV.6 Application Format**

**IV.6.1** Applications must be based on the overall description of the funding opportunity in Section I. Applications must clearly state if the application is for a Consortium Center award or a Single Institution Center award (See Section I.6 above).

#### **IV.6.2. Instructions for Executive Summary (not included in the 18 page limit)**

The Executive Summary must not exceed two (2) pages, and should summarize the technical application, and must address the following:

- Describe the opportunity to enhance international development activities of higher education institutions
- Describe how the Center will build mutually beneficial relationships to the development community and how they are directly related to USAID's development objectives
- Explain how this approach is different from existing activities and programs
- Provide a concise summary of the program description, program methodology, organizational capability, and expected results.
- State the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.

#### **IV.6.3 Instructions for Full Technical Applications**

**IV.6.3.1 The Full Technical Application is limited to eighteen (18) pages and must be written in English.** Applicants shall use only single-sided 8.5 inch by 11 inch paper or A4 paper, 1.5 line-spaced pages with each page numbered consecutively. Applicants must use Times New Roman font 11 or a similar size typeset. A page in the application which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the 18-page limitation. Information submitted as part of the Technical Application over 18 pages will not be evaluated.

Not included in the 18-page limitation of the Full Technical Application are the following (there is no page limitation on these items unless otherwise stated):

- Cover page (not to exceed one page)
- Table of Contents
- Acronym list
- Executive Summary (not to exceed two pages)
- Past Performance
- Dividers
- Appendix attachments which contain biographical information (i.e., resumes and other documentation provided by the Applicant) for proposed key personnel
- Management Structure/Organizational Chart
- Letters Of Intent
- List of Key Personnel
- Gender Analysis (not to exceed one page)

The application must include the following:

#### **IV.6.3.1.1 Cover Page (not included in the page limit):**

The Cover Page shall not exceed one (1) page, and must include the following information:

- Name and address of organization;
- Type of institution
  - Please describe how the institution meets the requirements under the definition in Section III – Eligibility Information
- Lead & alternate contact point (contact name; telephone number, and e-mail information);
- Name of the Proposed Center Director/Manager(s);
- Signature of authorized representative of the applicant;
- Title of proposed program; total dollar amount of funds requested;
- Point of contact, hereafter referred to as the “agent,” with the authority to negotiate and sign on behalf of the applicant. The agent’s name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers should be included.
- A summary table that lists the primary applicant and all partner organizations, if any, as well as the percentage of overall program activities of each partner; and
- Focus of Technical Application (development labs and analytics; Grand Challenges and new models for development; support science, technology, and engineering for development, or other).

#### **IV.6.3.2 Technical Approach**

The applicant shall describe the Center’s design, including proposed activities, with an emphasis on strategic fit, creativity and performance, leverage, scalability and sustainability and knowledge sharing.

##### **IV.6.3.2.1. Strategic fit**

1. Situational analysis: describe how the applicant proposes to address the specific development challenges faced by the developing world as identified in the application.
2. Statement of the goals, objectives, and outcomes of the application. Describe how the application addresses this RFA’s core goals and objectives as highlighted in Sections 1.4-1.7. Describe how these are likely to evolve in the short term, and over the life of the agreement;
3. Describe how the implementation strategy and characteristics of the proposed single institution center or consortia will meet the program goals and objectives of this RFA.
4. Explain how achieving the objectives of the proposed activities will advance development in new and creative ways;

##### **IV.6.3.2.2 Creativity and Performance**

1. Method(s) of approach, suggesting how this program will improve understanding of development challenges and incentive novel multi-sector, multidisciplinary solutions that bridge across traditional academic disciplines;
2. Means to productively interact and influence the current and future approaches taken by USAID in accomplishing its international development activities, in light of changing nature

of international development landscape, and global trends in population, environment, demographics, urbanization, economics, connectivity, and science & technology.

3. Anticipated results and indicative measures and methods to monitor and evaluate results as a performance indicator;

#### **IV.6.3.2.3 Leverage, Scalability, and Sustainability**

1. Identify potential linkages or means of leveraging other higher education and research institutions, foundations, companies, NGOs, and other partners to creatively address development challenges. Applicants must explain how they will scale-up impact and influence beyond their institution or a consortia by leveraging external donors, engaging with students in the U.S. and the developing world, partnering with federal science agencies and other institutions (potentially through consortia), and working with the private sector, foundations, NGOs, social entrepreneurs, and other development agencies, in bilateral and multilateral arrangements;
2. Describe why the proposed activities are technically and financially feasible (budget justification);
3. Describe how the proposed activities will be sustained. Explain how these activities could help build long-term mutually beneficial relationships between USAID and the centers.

#### **IV.6.3.2.4 Knowledge Sharing**

1. Describe how the Center will develop communication strategies that will allow for the effective and timely transfer of new knowledge and innovations to USAID as well as the broader development community in a way to advance USAID's policies, programming, and implementation in missions and USAID Washington, as well as in the broader development community;
2. Describe how the program will engage and inspire students around major development challenges within consortia institutions, as well as the global higher education community through programs, prizes, challenges, and potentially, institutional changes;
3. Describe how the Center will share reports, published methodologies, case-studies and other materials developed through Center activities to facilitate broader programmatic coherence, accelerate lessons learned, open new lines of inquiry, and enhance analysis for USAID and the broader development community

#### **IV.6.3.2.5 Monitoring and Evaluation Plan**

Describe the approach to monitoring and evaluation that the Applicant will utilize and why this approach is appropriate. Indicate the process by which the indicators will be developed and how monitoring processes and results will be used to inform project management decisions. Indicate ways in which impact will be evaluated on an ongoing basis and at the end of the activity. Include a strategy for achieving long-term development impact through the completion of intermediate results and benchmarks. These benchmarks (standards by which an activity can be measured or judged) may be general at this time but should serve as a framework for the final specific indicators and benchmarks that will be subsequently

#### **IV.6.3.4 Organizational Capability and Management Approach**

Applicants should provide a clear description of its internal capabilities/resources and relevant work experience/history to demonstrate the capacity to successfully manage the proposed program. In this section, the applicant shall:

1. Explain the core technical capacities/resources and institutional support that the applicant offers and address the applicant's financial control system.
2. Describe ability to monitor and evaluate program implementation and effectively report results and impact.
3. Provide a brief description of work experience/history/areas of expertise.
4. Describe pertinent experience and representative accomplishments in developing and implementing programs similar to that outlined in this RFA;
5. Describe the organizational capabilities and expertise of any proposed sub-recipients, if applicable, and
6. Describe the proposed field management structure and financial controls, if applicable.
7. Describe external or private sector opportunities for leverage

#### **IV.6.3.5 Key Personnel**

1. Applicants must describe proposed key personnel member's role, technical expertise and estimated time (level of effort) each will devote to the project. Proposed key personnel not yet identified may be shown as "TBD" (to be determined). In addition, list non-key personnel involved on a full and part-time basis and level of effort each will devote to the project.
2. Applicants must provide, as attachments, curriculum vitae and other supporting documentation (including sample publications or other documents) for proposed key personnel indicated in the application.
3. Explain the staffing model and specify the composition and organizational structure of the Center (including institutional support). Provide letters of commitment from key personnel.
4. Key personnel fill positions deemed essential for the successful implementation of the award, and should have relevant technical and managerial experience required for the position.

#### **IV.6.3.7 Management and Implementation Plan**

Describe your management and implementation plan:

1. Applicants must provide a proposed first-year Implementation Plan proposed in matrix format which describes proposed activities describing what activities and when they will take place during the time frame indicated. First-year implementation plan, inputs, outputs, and measurable outcomes should be realistic and achievable within the proposed budget and timeframe and reflect a grasp of the necessary steps to ensure efficient, effective execution of program activities. Deliverables for the end of the first year should be explicit.

Applicants must identify partners for activities where appropriate and describe all proposed sub-awards in the application. A past contract, grant, or cooperative agreement is not a prerequisite to apply and scoring of application will not be affected, positively or negatively, simply by the fact that the applicant has or has not been a prior recipient of an award.

2. Using a tabular format, the first year implementation plan shall summarize main activities, objectives, indicators and measurement methods. Link information coherently to succinctly explain how a particular set of activities will achieve a specific objective, and how they will be measured.



Each table should contain the following:

1. A statement of the proposed program goal and the linked to USAID objectives and goals, as appropriate;
2. Main results-oriented objectives that the program will accomplish;
3. Primary activities intended to achieve each stated objective result(s);
4. Examples of key indicators that will measure the results of each objective; and
5. The measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data).

For each activity proposed, please provide a discussion of how that activity and the expected outcomes will contribute to improving USAID's development programs and/or development impact. As appropriate, please also demonstrate explicitly how each activity involves units within USAID, students and faculty, partners, and as appropriate, developing world partners.

#### **IV.6.3.8 Past Performance Information**

In an attachment that will not count against the page limit, the application must include a list of the applicant (prime) and their implementing partners' contracts, grants, or cooperative agreements involving similar or related programs over the past three years, to include the location(s), name and current telephone number and/or e-mail address of at least one person knowledgeable of the applicant's work on each such program, award numbers for each program (if available), and a brief description of the work performed. Applicants should use the format provided in Appendix 1 – Past Performance Information.

It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested. USAID reserves the right to obtain past performance information from other sources including those not named in the application. The technical evaluation team will review all applications and may engage the applicant for clarifications or further information as needed.

#### **IV.6.3.9 Gender Analysis (no more than 1 page - not included in the page limit)**

The identification of specific gender equality and female empowerment objectives in programming and project design is based on the findings of gender analysis, which is mandated by the ADS. Applicants must briefly describe how gender norms and constraints in the implementation context will affect the project and how the project is likely to reduce or exacerbate existing gender gaps. For instance, will men and women have equal access to participate in the project or activity? Will gender awareness training be necessary to ensure that husbands, families, and communities support female participation in the project? The gender analysis should also identify potential adverse impacts and/or risks of gender-based exclusion that could result from planned activities, such as displacing women from access to resources or assets; increasing the unpaid work or caregiver burden of females relative to males; or increasing the risk of gender-based violence, including sexual exploitation or human trafficking, sexually transmitted diseases, and HIV/AIDS

#### **IV.6.3.10 Supporting Materials (not included in the page limit):**

The Applicant must submit the Supporting Materials listed below:

1. An organizational chart with the names and positions of those who will be involved in implementing the project
2. Letter of intent from any existing resource or implementing partners.

Attachments (includes institutional and individual capabilities and supporting information) (Be concise)

#### **IV.6.4 Instructions for Cost Application**

The cost application must be submitted **separately** from the technical application. The cost application will be evaluated in accordance with Section V. of this RFA. If the applicant has established a consortium or another legal relationship among its partners, the Cost application will include a copy of the legal relationship between the parties. The application should include a full description of the relationship between the applicants including identification of the prime applicant serving as point of contact for the Agreement administration, identify of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

The following sections describe the documentation that applicants must submit to USAID. While there is no page limit to the Cost Application, applicants are encouraged to be as concise as possible, but still provide the necessary details.

The cost application shall include the following:

##### **IV.6.4.1 Part I – SF-424 Package**

As indicated in Section IV.2 of this RFA, the applicant shall submit the following:

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information, Non-construction Programs, and
- SF424B, Assurances – Non-construction Programs

##### **IV.6.4.2 Part II – Certifications, Assurances, and Other Statements of Applicant/Recipient**

This part of the application should include the “Certifications, Assurances, and Other Statements of Applicant/Recipient” described in Section IV.3 of this RFA.

##### **IV.6.4.3 Part III - Detailed Budget Breakdown (Prime Applicant)**

The applicant shall provide a detailed budget breakdown for each year of the program and a summary budget for the full period of performance not to exceed five years. The budget shall include a subtotal for each budget line item and the total estimated amount and must not exceed the amount specified in Section II.2 of this RFA. The budget shall contain a separate column for

each source of funds/contributions (i.e., USAID, non-federal, and other federal). The budget must provide a breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.

The electronic version of the budget must be provided in an **unprotected** Microsoft Excel format.

The detailed budget shall follow the budget line items set forth below, as applicable,

**IV.6.4.3.1 Budget Line Items:**

- A. Personnel/Salaries and Wages
- B. Fringe Benefits
- C. Travel, Transportation and Per Diem
- D. Overseas Allowances
- E. Equipment
- F. Supplies
- G. Contractual
- H. Training
- I. Other Direct Costs
- J. Indirect Costs.
- TOTAL

**IV.6.4.3.1.1 Direct Salaries and Wages**

A detailed indication of level of effort, including the position titles, names of proposed individuals to fill each position (if known), number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total direct salaries and wages. Anticipated backfill, overtime/premium pay, and salary increases during the term of the cooperative agreement may be included, but the percentage of increase and the anticipated date(s) of increase must be specified.

**IV.6.4.3.1.2 Fringe Benefits**

Fringe benefits, if not included in direct labor or indirect costs, shall be shown as a percentage of salaries, and shall indicate the individuals to whom the fringe benefit rate(s) apply, the salary of each individual, the total fringe benefit costs for each individual, and the total fringe benefits.

Unless the negotiated indirect cost rate agreement (see Section IV.4.3.8 below) specifies the fringe benefit rate(s), the proposed rate(s) shall be supported by a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, retirement, workers' compensation, health and life insurance, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

**IV.6.4.3.1.3 Travel, Transportation, and Per Diem**

Estimated travel and transportation costs shall be in accordance with the standard provisions entitled "International Air Travel and Transportation" and "Ocean Shipment of Goods."

The budget shall specify, for each traveler, the itinerary (in terms of locations, and, if possible, dates), the estimated airfares, any transportation costs (*e.g.*, excess baggage, unaccompanied

baggage) – including the weights, mode of transportation [air, vessel], and unit prices – and the subtotal of all travel and transportation costs.

Estimated lodging and subsistence costs must be in accordance with the applicant's established policies and practices which are consistently applied (however, the U.S. Government's per diem rates<sup>1</sup> shall be used as the test of reasonableness and, if the applicant does not have established policies and practices, the U.S. Government per diem rates shall be used), and should specify, for each traveler and for each trip, the location(s) (departure point and destination), the number of days in each location, the daily rate for each location, and the total lodging and subsistence costs. The lodging and subsistence costs must be consistent with the travel itinerary and the level of effort.

Center budgets must include funds to support regular travel by Center key personnel and others to USAID's Washington Office and for the Director/Manager to attend annual meetings of the Centers.

For miscellaneous travel expenses, such as ground transportation/taxis, airport taxes/transfers, or in-country travel, the basis for the estimate must be indicated, rather than a lump-sum amount. For example, ground transportation/taxis might be \$100, based on 2 round-trips @ \$50; airport taxes/transfers might be \$40, based on 2 round-trips @ \$20; and in-country travel might be \$500, based on 20 days @ \$25.

The budget must distinguish between domestic (U.S.) and international travel.

The budget shall also include the total travel, transportation, and per diem costs.

#### **IV.6.4.3.1.4 Overseas Allowances**

Overseas allowances, if any, (such as Danger Pay or Post Differential, but excluding per diem and shipping allowances, which should be budgeted under "Travel, Transportation, and Per Diem") shall be in accordance with the applicant's established policies and practices that are consistently applied. The *Standardized Regulations (Government Civilians, Foreign Areas)* <sup>2</sup> will be used as a test of reasonableness for overseas allowances. Each type of allowance should be separately identified.

#### **IV.6.4.3.1.5 Nonexpendable Equipment**

This part of the budget will include nonexpendable equipment and expendable supplies/materials proposed to be purchased by the applicant. The detailed budget breakdown for these costs shall include the types and quantities of equipment and materials/supplies to be purchased, the unit prices, and the total costs.

#### **IV.6.4.3.1.6 Supplies**

This part of the budget will include expendable supplies/materials proposed by the applicant. The detailed budget breakdown for these costs shall include the types and quantities of equipment and materials/supplies to be purchased, the unit prices, and the total costs.

---

<sup>1</sup> Available on the internet at [http://aoprals.state.gov/web920/per\\_diem.asp](http://aoprals.state.gov/web920/per_diem.asp)

<sup>2</sup> Available on the internet at <http://www.state.gov/m/a/als/920/>.

#### **IV.6.4.3.1.7 Contractual**

##### **a. Consultants**

The budget must specify the position title(s), name(s) of proposed individual(s) to fill the position(s), if known, number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total consultant costs.

##### **b. Subagreements/(Sub)contracts**

The applicant's budget shall include a breakdown of all costs for each subagreement/(sub)contract, and identify the subrecipient/(sub)contractor, if known. The lump-sum(s) must be consistent with the detailed subrecipient/(sub)contractor budgets described in Section IV.4.3.4 (Part IV) below. The cost application must indicate whether the instrument will be a (sub)contract or subagreement (see ADS-304<sup>3</sup> for a discussion of the difference between acquisition ([sub]contracts) and assistance (subagreements). (Sub)contracts are subject to 22 CFR 226.40-49, the standard provision entitled "USAID Eligibility Rules for Goods and Services." Subagreements are subject to the standard provision entitled "Subagreements."

#### **IV.6.4.3.1.8 Other Direct Costs (ODCs)**

ODCs include costs such as communications and postage, passports/visas, medical exams/inoculations (for international travel), insurance (extra insurance such as medical evacuation for international travel, tort liability, workers compensation, etc.), expendable supplies and materials (as distinct from nonexpendable equipment), report preparation/reproduction, etc. Again, breakdown of all anticipated other direct costs (i.e. the amount, type, and unit cost) and the basis for each estimate should be indicated.

For example, communications costs might be \$600, based on 12 months at \$50. Report reproduction might be \$40, based on 4 reports of 100 pages each @ \$0.10 per page. Expendable supplies and materials must indicate the types of supplies, the quantity of each, the unit price for each, and total costs.

#### **IV.6.4.3.1.9 Indirect Costs**

Estimated indirect costs shall be in accordance with the standard provisions entitled "Negotiated Indirect Cost Rates – Predetermined," "Negotiated Indirect Cost Rates – Provisional (Nonprofits)," or "Negotiated Indirect Cost Rates – Provisional (For-Profits)," as applicable.

The budget shall be structured in such a way as to permit easy identification and application of on-site and off-site, if applicable, the base to which the rate(s) is (are) applied, and the applicant's fiscal year (e.g., October 1 through September 30).

To substantiate the rate(s) and the base(s) of application, the applicant must submit a copy of its current negotiated indirect cost rate agreement (NICRA), signed by the cognizant U.S. Government audit agency (see Section IV.4.3.8 below). The applicant shall also provide the name and address of

---

<sup>3</sup> Available on the internet at <http://www.usaid.gov/policy/ads/300/304.pdf>.

the cognizant U.S. Government Audit Agency, and the name and telephone number of the cognizant auditor, if other than USAID

If the applicant does not have a cognizant U.S. Government Audit Agency and/or NICRA, the applicant must submit sufficient information to allow USAID to determine the reasonableness of the rates without a full-scale pre-award audit, *e.g.*, audited financial statements for the last two complete years and the current year to date (or such lesser period of time if the applicant is a newly-formed organization). The financial statements should include the total costs of goods and services sold, including a listing of the various indirect administrative costs, and be supplemented by information on the applicant's customary indirect cost allocation method, together with supporting computations of the basis for the indirect cost rates proposed (*e.g.*, a breakdown of allocation bases and indirect cost pools, the method of determining the rate, annual financial statements, etc.).

Unless the subject is addressed in the NICRA, the applicant must, if applicable, describe when the on-site vs. off-site rate is applied.

If the applicant proposes to charge less than its full indirect cost rate to the cooperative agreement, or proposes not to charge indirect costs, the applicant will still incur indirect costs at the full rate. In such circumstances, the difference between the rate to be charged to the cooperative agreement and the applicant's full indirect cost rate should be reflected as a matching contribution.

**IV.6.4.3.1.10 Branding Strategy and Marking Plan** Applicants should also include in the budget all costs associated with branding, such as press conferences, media and promotional materials, photography, site visits, success stories; and all costs associated with marking, such as plaques, banners, signs, etc.

#### **IV.6.4.3.2 Budget Narrative**

The budget narrative justifies proposed expenses and explains how costs were estimated. Applicants should provide their rationale for cost development, such as the methodology and assumptions used to determine individual costs, i.e., actual current costs incurred, costs obtained through tenders or bids, catalog prices, or published salary tables. A thorough budget narrative will expedite the cost application review and prevent applicants from having to provide further justifications following application submission. *For ease of review, budget narratives should follow the order of line items in the detailed budget (top to bottom),*

Note: The Agreement Officer may request additional detailed budget information, following notification to an applicant that it is under consideration for an award. If necessary, the Agreement Officer may conduct discussions to verify cost data, evaluate specific elements of costs and examine data to determine the necessity, reasonableness and allocation of the costs reflected in the budget and their allowability pursuant to the applicable cost principles.

#### **IV.6.4.4 Part IV – Subrecipient/(Sub)contractor Budgets**

Detailed budget breakdowns for each subrecipient/(sub)contractor shall be presented. Subrecipient/(sub)contractor budgets shall not be intermingled. The first page shall be a summary budget, following the same budget format and line items as are set forth in Section IV.4.3.3 above, for the full term of the subagreement/(sub)contract. Following the summary budget, a detailed budget breakdown for each year shall be presented in accordance with the instructions provided in

IV.4.3.3 above (for the prime applicant). Explanatory budget notes must also be provided. Each page shall have the year and the subrecipient's/(sub)contractor's name (if known) clearly marked, and be signed and dated by an authorized representative of the subrecipient/(sub)contractor if the specific subrecipient/(sub)contractor is a key member of the applicant's proposed implementation team. A tab or colored divider page shall separate each subrecipient's/(sub)contractor's detailed budget breakdown

#### **IV.6.4.5 Part V - Negotiated Indirect Cost Rate Agreement**

a. If applicable, the application should include a copy of the applicant's (and each subrecipient's and subcontractor's) most recent Negotiated Indirect Cost Rate Agreement (NICRA) from the cognizant U.S. Government audit agency, and the name, address, and telephone number of the auditor.

b. Applicants who do not currently have a NICRA from their cognizant U.S. Government audit agency shall submit the following information:

- Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- Projected budget, cash flow and organizational chart; and
- Copy of the organization's accounting manual.

#### **IV.6.4.6 Part VI- Self-Certification (If Applicable)**

If the applicant has self-certified its policies to USAID/Washington, M/OAA/CAM/OCC, (M/OAA formerly known as M/OP) the applicant should submit a copy of such self-certification in this part of the application. Further information may be found at <http://www.usaid.gov/policy/ads/300/30359s1.pdf>.

#### **IV.6.4.7 Part VII – Evidence of Responsibility**

Applicants should submit sufficient evidence of responsibility for the Agreement Officer to make an affirmative determination of responsibility. The information submitted should substantiate that the applicant:

The following criteria are used by USAID in determining an applicant's "responsibility:"

- (1) Adequacy of Applicant's Program Description, Budget, and Monitoring System.
- (2) Adequacy of the Applicant's Financial Resources for Program Performance.
- (3) Applicant's Ability to Meet Award Conditions:
  - (A) Compliance of Applicant's Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.
  - (B) Compliance of Applicant's System of Reports and Records with 22 CFR 226.50-53.
  - (C) Compliance of Applicant's Internal Control Systems with Applicable USG Cost Principles.

- (i) Internal Controls.
- (ii) Personnel Policy is Reasonable under Applicable USG Cost Principles.
- (iii) Travel Policy is Reasonable under Applicable USG Cost Principles and the U.S. Department of State's *Standardized Regulations (Government Civilians, Foreign Areas)* (<http://aoprals.state.gov/>), and Complies with Fly America Requirements.
- (D) Compliance of Applicant's Property Management System with 22 CFR 226.30-37.
- (E) Compliance of Applicant's Sub-Award Administration and Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's *Guidelines for Financial Audits Contracted by Foreign Recipients* (<http://www.usaid.gov/policy/ads/500/591maa.pdf>) for non-U.S. NGOs.
- (F) Compliance of Applicant's Purchasing System/Contracting Procedures with 22 CFR 226.40-49.
- (G) Applicant's Absorptive Capacity Given Other Existing and Potential Work Commitments.
- (4) Satisfactory Record of Performance by Applicant.
- (5) Satisfactory Record of Business Integrity by Applicant.
- (6) Applicant is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

#### **IV.6.4.8 Part VIII – Survey on Ensuring Equal Opportunity for Applicants**

Executive Order 13279 of December 12, 2002, *Equal Protection of the Laws for Faith-Based and Community Organizations*, provides that, in formulating and implementing policies that have implications for faith-based and community organizations, agencies that administer social service programs supported with Federal financial assistance shall ensure equal protection and opportunity for faith-based and other community organizations.

The Executive Order also requires select Federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service programs that receive Federal financed assistance. A *Survey on Ensuring Equal Opportunity for Applicants* has been approved by the U.S. Office of Management and Budget (OMB) for this purpose.

The applicant's completion of the survey is **voluntary**, and is not a requirement of this RFA. The absence of a completed survey in an application will not be a basis upon which the application is determined to be incomplete or non-responsive. The information collected through the survey is intended for data collection purposes only.

#### **IV.6.4.9 Part IX - Branding Strategy and Marking Plan**

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant(s) will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before an award will be issued by USAID. These plans shall be prepared in accordance



with the guidance in ADS 320.3.1.2, 22 CFR 226.91 and the references therein. The apparently successful applicant(s) proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. In contrast to exceptions to marking requirements, waivers based on circumstances in the host country, if applicable, must be approved by the Mission Director/Manager or other USAID Principal Officers, see 22 CFR 226.91(j). The Agreement Officer is responsible for evaluating and approving the Branding Strategy and Marking Plan, including any request for exceptions) of the apparently successful applicant consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” as contained in AAPD 05-11 and in 22 CFR 229.91. No award will be made without a USAID approved “Branding Strategy and Marking Plan”.

**Please note that the Branding Strategy and Marking Plan shall not be included with the original Application, but shall be provided only after a written request from the Agreement Officer. (See also Section VIII. entitled “Additional Information” of this RFA).**

## **SECTION V – APPLICATION REVIEW INFORMATION**

Each application submitted in response to this RFA will be evaluated in accordance with the evaluation criteria set forth below. These criteria: a) identify the significant areas that Applicants should address in their applications; and b) serve as the standard against which all applications will be evaluated.

### **V.1 Application Evaluation Process**

Applications received pursuant to this RFA will be evaluated using a two-step evaluation process.

All applicants must submit an Executive Summary along with a full application. For those applicants determined to be fully responsive to the RFA and meet the basic eligibility requirements per Section III of this RFA, the two page Executive Summary will be evaluated by a peer technical evaluation committee. The evaluation will be based on the following criteria: (1) the application's relevance to broader development objectives as identified in Section I.7 of this RFA; and (2) novelty and creativity of the Applicant's technical approach.

Executive summaries deemed to concisely capture the vision for the Center as evaluated through the two criteria above will be **shortlisted** and will move on to Step 2, where the full application will be evaluated. Applications that are not shortlisted will not move on to Step 2. In these cases, the full applications will not be evaluated and the applications will not be considered further.

The following technical evaluation criteria will be used by the technical evaluation committee (TEC) to evaluate the full technical application.

#### **V.1.1 Technical Approach (60 points)**

This evaluation component contains 5 major subcriteria - Strategic fit, creativity and performance, leverage, scalability and sustainability, and knowledge sharing, which, when combined represent the totality of this technical evaluation factor. Each of these 5 subcriteria is equally important. Technical applications will be evaluated in accordance with the following subcriteria:

##### **V.1.1.1 Strategic Fit**

**V.1.1.1.1** The extent to which the proposed overall strategy, methodology, and analyses are well-reasoned and appropriate, accomplishing the program goals and core objectives of this RFA as outlined in sections 1.4-1.7.

**V.1.1.1.2** The extent to which USAID's (and the broader development community's) ability to solve development problems will be improved if the objectives of the RFA and the proposal are achieved.

##### **V.1.1.2 Creativity and Performance**

**V.1.1.2.1** The extent to which the application presents creative new approaches to international development challenges that

**V.1.1.2.1.1** use novel theoretical concepts, multidisciplinary approaches, methodologies or interventions to shift current research or development practice paradigms.

**V.1.1.2 .1 .2** use results of proposed activities to influence current and future approaches to development taken by USAID to accomplish its development activities.

**V.1.1. 3 Leverage, Scalability and Sustainability**

**V.1.1. 3 .1** The extent to which the application demonstrates the leverage from alternate or external resources necessary to make the activities proposed sustainable.

**V.1.1. 3.2** The extent to which the applicant structures partnerships with developing world institutions that promote sustainability, scholarship, and/or entrepreneurship .

**V.1.1. 4 Knowledge Sharing**

The extent to which the applicant proposes to engage and share knowledge with other academic institutions, faculty, students, USAID offices and programs through the proposed activities

**V.1.1. 5 Monitoring and Evaluation Plan**

The extent to which the monitoring and evaluation plan are realistic and in-line with the objectives and activities set forth in the application

**V.1.2 Organizational Capability and Management Plan (30 points)**

The application will be evaluated on the appropriateness, clarity, and logic of the approach to governing, managing and implementing the project. Each subcriterion is of equal importance.

**V.1.2.1** The extent the proposed governance and management plan provide appropriate intellectual, leadership and administrative support to achieve the proposed goals and objectives of the RFA

**V.1.2 .2** The extent to which objectives are realistic and logical and are appropriate within the time period allocated

**V.1.2.3** The extent to which the first year implementation plan are realistic and in-line with the objectives and activities set forth in the application

**V.1.3 Personnel (10 points)**

Each subcriterion is of equal importance.

**V.1.3.1** The application will be evaluated on the proposed management structure and staffing plan;

**V.1.3 .2** The proposed key personnel will be evaluated on their relevant qualifications, to include:

**V.1.3 .2 .1** Sufficient technical leadership experience to provide leadership to develop and lead a diverse team to fulfill the vision of the center including appropriate academic credentials and experience with effective program monitoring and evaluation techniques; and.

**V.1.3 .2.2** Adequate experience to oversee the administrative, contracting, financial and logistical aspects of the goals and objectives as described in the application.

#### **V.1.4 Non-scored Evaluation Factors:**

While no points are assigned to the below factors they are important and material to the award decision application.

##### **V.1.4 .1 Past Performance**

The application will be evaluated on the extent to which the applicant's past performance indicates the potential for success in this project. The following factors will be taken into account in the evaluation of this criterion:

**V.1.4 .1 .1**the applicant's prior experience and success in implementing, managing, and evaluating similar activities;

**V.1.4 .1 .2**the applicant's record of collaborating closely with various levels of host country governments and/or other public and/or private sector partners;

**V.1.4 .1 .3**the applicants prior experience with complex multidisciplinary programs, their creation, implementation, management, and monitoring and evaluation; and

**V.1.4 .1 .4** the applicants institutional administrative and technical support, and facilities and other physical resources available to the center.

##### **V.1.4 .2 Gender Analysis**

The application will be evaluated on the extent to which it demonstrates an understanding of how gender constraints and norms in the implementation context will affect the project design and implementation, as well as how the project will change gender norms and empower women. It will also be evaluated on the extent to which opportunities to enhance women's participation and leadership is incorporated into project design, implementation, the results framework, and monitoring and evaluation indicators.

##### **V.1.4 .3 Cost**

Costs included in the proposed budget will be reviewed to ensure they are allowable, allocable, and reasonable. Some amount of Cost-share is required.

*Cost-Sharing, Leverage and Sustainability.* The application will be evaluated on the extent to which it demonstrates cost-sharing from the applicant and leverage from external resources to make the activities proposed sustainable.

Proposed budgets will also be subject to cost realism analysis. The cost realism analysis will verify the applicant's understanding of the requirements, assess the degree to which the cost application reflects the approaches in the technical application, and assess the degree to which the costs included in the application accurately represent the programmatic requirements set forth in the application.

[Note: Applications that do not present realistic costs may risk not being considered for award.]

## **V.2 TECHNICAL VERSUS COST CONSIDERATIONS**

For this RFA, the overall merit of technical application is more important than that of the cost application

## **V.3 Required Certifications**

The following certifications are required and must be signed and included with the application:

### **Part I – Certifications and Assurances**

- a) Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
- b) Certification Regarding Lobbying
- c) Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (See ADS 206)
- d) Certification Regarding Terrorist Financing, Implementing Executive Order 13224
- e) Certification of Recipient

### **Part II - Key Individual Certification Narcotics Offenses and Drug Trafficking; and**

### **Part III – Participant Certification Narcotics Offenses and Drug Trafficking**

### **Part IV – Survey of Ensuring Equal Opportunity for Applicants**

### **Part V – Other Statements of Recipient**

**See Section VIII – Additional Submission Requirements for full text of the required certifications**

## **SECTION VI - AWARD AND ADMINISTRATION INFORMATION**

### **VI.1 Notification of Selection to Applicants**

**VI.1.1** The authorized agent of the successful applicant(s) will receive electronically for acknowledgement an award document signed by the USAID Agreement Officer obligating the initial increment of funding or the full funding amount, depending on funds available. Only the Agreement Officer may provide such notification to the successful applicant(s). The award document signed by the Agreement Officer is the authorizing document. An award shall be made only when the Agreement Officer makes a positive responsibility determination in accordance with ADS 303.3.9 (See Section III.9 above) that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

**VI.1.2** For organizations that are new to USAID or for organizations with outstanding audit findings, USAID will perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make an award to an organization

**VI.1.3** The award document will consist of the following:

- Cover Letter;
- Attachment 1: Schedule (to include award-specific information such as performance periods, budgets, payment provisions and reporting requirements, substantial involvement understandings, special requirements/provisions, etc.);
- Attachment 2: Program Description (*i.e.*, the successful applicant's initial or revised technical application/addendum); and
- Attachment 3: Standard Provisions (See Section I.4 of this RFA)

**VI.1.4** No costs charged to the proposed award may be incurred before receipt of either a fully executed award or a specific, written pre-award authorization from the Agreement Officer.

**VI.1.4.1** The award document or pre-award authorization, if any, will be provided by the Agreement Officer to the successful applicant(s) in hard-copy (original or fax), or electronically.

**VI.1.5** Pursuant to ADS 303.7.1.b, the Agreement Officer will electronically notify unsuccessful applicants that they will not be considered further for an award.

### **VI.2 Deviations from the Standard Provisions**

No deviations to the Standard Provisions that will form Attachment 3 of any award(s) as a result of this RFA are anticipated

### **VI.3 Integrating Gender Equality and Women's Empowerment Objectives into Programming and Project Design**

Gender equality and female empowerment are key to effective and sustainable development outcomes. No society can develop successfully without both increasing and transforming the distribution of opportunities, resources, and life prospects for both males and females so that they have equal power to shape their own lives and contribute to their communities. Women's empowerment is achieved when women and girls acquire the power to think and act freely, exercise choice, and fulfill their potential as full and equal members of society. All USAID programming, project design, implementation, monitoring and evaluation must reflect explicit specification and integration of approaches and actions to advance gender equality and female empowerment. Attention to gender equality and female empowerment is facilitated by directly and systematically consulting with and involving both male and female stakeholders in project design, implementation, and evaluation to identify relevant gender gaps, specific ways to reduce them, and serve the needs of both males and females

### **VI.4 Other Considerations**

The following provisions are incorporated into this RFA.

### **VI.5 Central Contractor Registration and Universal Identifier (October 2010)**

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

- (1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
- (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

(3) Entity, as it is used in this award term, means all of the following, as

defined at 2 CFR part 25, subpart C:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization; and
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
- (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[END OF PROVISION]

## **VI.6 Reporting Subawards And Executive Compensation (October 2010)**

### **a. Reporting of first-tier subawards.**

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

- (i) You must report each obligating action described in paragraph a.1. of this award term to [www.fsrs.gov](http://www.fsrs.gov).
  - (ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
- (3) What to report. You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

### **b. Reporting Total Compensation of Recipient Executives.**

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

- (i) the total Federal funding authorized to date under this award is \$25,000 or more;



(ii) in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at [www.ccr.gov](http://www.ccr.gov).

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

#### c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

#### d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) subawards, and

(2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization;

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

(i) Receives a subaward from you (the recipient) under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not tax qualified.

(vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

#### **VI.7 Implementation of E.O. 13224 – Executive Order on Terrorist Financing (March 2002)**

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Contractor/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

#### **VI.8 “USAID Disability Policy - Assistance (December 2004)**

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:  
[http://pdf.dec.org/pdf\\_docs/PDABQ631.pdf](http://pdf.dec.org/pdf_docs/PDABQ631.pdf).

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to AAPD 04-17 Supporting USAID’s Disability Policy in Contracts, Grants, and Cooperative Agreements comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.”

[END OF PROVISION]

#### **VI.9 General Information on Reporting Requirements**

a) Unless otherwise instructed recipients shall submit quarterly performance reports. These reports shall generally contain brief information on each of the following:

- (1) A comparison of actual accomplishments with the goals and objectives established for the period, the findings of the investigator, or both. Whenever appropriate and the output of programs or projects can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.
- (2) Reasons why established goals were not met, if appropriate.
- (3) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

## **VI.10 Environmental Procedures:**

- i) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5, 109 and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of US AID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.
- ii) In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
- iii) No activity funded under a USAID grant will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) signed by the Bureau Environmental Officer (BEO).

## **SECTION VII - AGENCY CONTACTS**

All questions and comments regarding this RFA must be submitted in writing to [UERFA@usaid.gov](mailto:UERFA@usaid.gov).

DRAFT

## **SECTION VIII – ADDITIONAL SUBMISSION REQUIREMENTS**

Together with their application, all applicants are required to submit the following:

### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (JUNE 2011)**

The following certifications, assurances and other statements are required from both U.S. and non-U.S. organizations (except as specified below). The required certifications, assurances and other statements follow:

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see **22 CFR 227**);
- c. A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries is required in its entirety as detailed in **ADS 206.3.10**;
- d. A signed copy of the Certification Regarding Terrorist Funding in its entirety is required by the Internal Mandatory Reference **AAPD 04-14**;
- e. When applicable, a signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking” (See **ADS 206**);
- f. When applicable, a signed copy of “Participant Certification Narcotics Offenses and Drug Trafficking” (See **ADS 206**);
- g. **Survey on Ensuring Equal Opportunity for Applicants**; and
- h. All Applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants**).

## **PART I – CERTIFICATIONS AND ASSURANCES**

### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

*Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.*

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
  - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
  - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
  - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
  - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## **2. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)**

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.



If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

#### **4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224**

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
  - e. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance,

safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

- f. “Terrorist act” means-
  - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
  - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
  - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- g. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
- h. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- i. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

## **5. CERTIFICATION OF RECIPIENT**

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug

Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

DRAFT

## **PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### **NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

### PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:
  - a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
  - b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
  - c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

#### NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

#### **PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

All applications must include the Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package.

This survey can be found at the following website:

<http://www.usaid.gov/forms/surveyeo.doc>

DRAFT

## **PART V - OTHER STATEMENTS OF RECIPIENT**

### **1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
_____			
_____			
_____			

### **2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

### **3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

- (a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
- (1) Recipient's name.
  - (2) Recipient's address.
  - (3) Recipient's telephone number.
  - (4) Line of business.
  - (5) Chief executive officer/key manager.
  - (6) Date the organization was started.
  - (7) Number of people employed by the recipient.

(8) Company affiliation.

- (c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com). The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

#### 4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

- (a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or subagreement) to a sub-grantee or subrecipient in support of the sub-grantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

- (b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ \_\_\_\_\_

- (c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/ DESCRIPTION (Generic) \_\_\_\_\_

QUANTITY \_\_\_\_\_

ESTIMATED UNIT COST \_\_\_\_\_



DRAFT

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED GOODS	_____
PROBABLE GOODS	_____
PROBABLE (Generic)	_____
UNIT COST	_____
COMPONENTS	_____
SOURCE	_____
COMPONENTS	_____
ORIGIN	_____

- (e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE	_____
INTENDED USE (Generic)	_____
UNIT COST	_____
SOURCE	_____
ORIGIN	_____

- (f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

- (g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	_____
QUANTITY	_____
ESTIMATED	_____
UNIT COST	_____
PROPOSED DISPOSITION	_____

## 6. PAST PERFORMANCE REFERENCES

Please provide past performance information per instructions in Section IV – Application and Submission Information of the RFA.

## 7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

- (a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or
- (b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

## **8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

## **SECTION IX – MARKING REQUIREMENTS**

### **MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005 as modified for USAID University Engagement through Higher Education Institutions Fund in November 2011)**

As outlined in this section, joint branding giving attribution to the USAID University Engagement through Higher Education Institutions Fund and its partners is required for products and materials prepared by the Recipient under the USAID University Engagement through Higher Education Institutions Fund.

#### **a. Definitions**

**Commodities** mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID-funded grant, cooperative agreement, or other agreement or subagreement.

**Principal Officer** means the most senior officer in a USAID Operating Unit in the field, for example, USAID Mission Director/Manager or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director/Manager, for example, the Director/Managers of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

**Programs** mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

**Projects** include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

**Public communications** are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

**Subrecipient** means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 CFR 226.2.

**Technical Assistance** means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a Development Objective – as opposed to the internal management of the foreign assistance program.

**USAID University Engagement through Higher Education Institutions: (Identity)** means the official marking for the USAID University Engagement through Higher Education Institutions-funded activities. The official marking includes the USAID University Engagement through Higher Education Institutions logo.

The Recipient should use the USAID University Engagement through Higher Education Institutions logo and the USAID identity for all products and materials that can be accompanied by the following text:

**“This product is made possible through the generous support of the USAID University Engagement through Higher Education Institutions partners: the United States Agency for International Development (USAID). It was prepared by [Recipient] and does not necessarily reflect the views of the USAID University Engagement through Higher Education Institutions partners.”**

When it is not possible or feasible to include the above text the Recipient may only use the *USAID University Engagement through Higher Education Institutions* logo.

**USAID Identity** means the official marking for the United States Agency for International Development, comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID Web site at [www.usaid.gov/branding](http://www.usaid.gov/branding), and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

#### **b. Marking of Program Deliverables**

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID University Engagement through Higher Education Institutions grant or cooperative agreement or other assistance award or subaward with the appropriate USAID University Engagement through Higher Education Institutions Identity as specified above, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.
- (2) The recipient will mark all program, project, or activity sites funded by USAID University Engagement through Higher Education Institutions, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry,

water management) with the USAID University Engagement through Higher Education Institutions Identity. The recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the recipient must install a permanent, durable sign, plaque, or other marking.

- (3) The recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID University Engagement through Higher Education Institutions with the full USAID University Engagement through Higher Education Institutions Identity as specified above, accompanied by the required text. .
- (4) The recipient will appropriately mark events financed by USAID University Engagement through Higher Education Institutions, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the appropriate USAID University Engagement through Higher Education Institutions Identity as specified above. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the appropriate USAID University Engagement through Higher Education Institutions Identity as specified above. In circumstances in which the USAID University Engagement through Higher Education Institutions Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge support from the USAID University Engagement through Higher Education Institutions partners.
- (5) The recipient will mark all commodities financed by USAID University Engagement through Higher Education Institutions, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID University Engagement through Higher Education Institutions, and their export packaging with the appropriate USAID University Engagement through Higher Education Institutions Identity as specified above.
- (6) The Agreement Officer may require the USAID University Engagement through Higher Education Institutions Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID University Engagement through Higher Education Institutions Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID University Engagement through Higher Education Institutions-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID University Engagement through

Higher Education Institutions-funded grants and cooperative agreements or other assistance awards will include the USAID University Engagement through Higher Education Institutions-approved marking provision in any USAID University Engagement through Higher Education Institutions-funded subaward, as follows:

*“As a condition of receipt of this subaward, marking with the appropriate USAID University Engagement through Higher Education Institutions Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s, or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the appropriate USAID University Engagement through Higher Education Institutions Identity.”*

- (10) Any ‘public communications’, as defined in 22 CFR 226.2, funded by USAID University Engagement through Higher Education Institutions, in which the content has not been approved by USAID University Engagement through Higher Education Institutions, must contain the following disclaimer:

*“This study/report/audio/visual/other information/media product (specify) is made possible through the generous support of the USAID University Engagement through Higher Education Institutions program. It was prepared by [Recipient] and does not necessarily reflect the views of the USAID University Engagement through Higher Education Institutions partners.”*

- (11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

**c. Implementation of marking requirements**

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 30 days after the effective date of the award [for cooperative agreements]. The plan will include:
- (i) A description of the program deliverables specified in paragraph b. of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID University Engagement through Higher Education Institutions Identity.
  - (ii) The type of marking and what materials the applicant uses to mark the program deliverables with the USAID University Engagement through Higher Education Institutions Identity,



- (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID University Engagement through Higher Education Institutions Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID University Engagement through Higher Education Institutions marking requirements when:
  - (i) USAID University Engagement through Higher Education Institutions marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
  - (ii) USAID University Engagement through Higher Education Institutions marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
  - (iii) USAID University Engagement through Higher Education Institutions marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
  - (iv) USAID University Engagement through Higher Education Institutions marking requirements would impair the functionality of an item;
  - (v) USAID University Engagement through Higher Education Institutions marking requirements would incur substantial costs or be impractical;
  - (vi) USAID University Engagement through Higher Education Institutions marking requirements would offend local cultural or social norms, or be considered inappropriate;
  - (vii) USAID University Engagement through Higher Education Institutions marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.

**d. Waivers**

- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project,

activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID University Engagement through Higher Education Institutions-required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer's Technical Representative (AOTR). The Principal Officer is responsible for approvals or disapprovals of waiver requests.

- (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID University Engagement through Higher Education Institutions Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.
  - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
  - (4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID University Engagement through Higher Education Institutions markings already affixed, if circumstances warrant.
  - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator (AA). The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant AA.
- e. **Non-retroactivity.** The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

**APPENDIX 1- PAST PERFORMANCE INFORMATION**

<b>APPLICANT PERFORMANCE REPORT - SHORT FORM</b>
<b>PART I: Applicant Information (to be completed by Prime)</b>
1. Name of Awarding Entity:
2. Award Number:
3. Award Type:
4. Value (TEC): (if subaward, subaward value)
5. Problems: (if problems encountered on this contract, explain corrective action taken)
6. Contacts: (Name, Telephone Number and E-mail address)
6a. Contracting/Agreement Officer:
6b. Technical Officer:
6c. Other:
7. Contractor:
8. Information Provided in Response to RFA No. :
<b>PART II: Performance Assessment (to be completed by Agency)</b>
1. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:
2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3. Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:

[Note: The actual dollar amount of awards, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall award. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.